

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of

SLOAN et al.

Application No. 09/705,287

Filed: November 1, 2000

For: FINANCIAL PORTFOLIO RISK
MANAGEMENT

Examiner: Not assigned

Group Art Unit: Not assigned

Date: August 9, 2001



COPY

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail to: Commissioner for Patents, Washington, D.C. 20231 on August 9, 2001.

Signed:

Yvonne Mock
Yvonne Mock

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents
BOX: MISSING PARTS
Washington, DC 20231

Sir:

Enclosed herewith are the original, executed Declaration and Power of Attorney for Patent Application and Assignment and Assignment Recordation Sheet in response to the Notice to File Missing Parts of Application--Filing Date Granted mailed January 18, 2001. Please file these documents in the subject application.

Applicant hereby requests a five-month extension of time to August 18, 2001 in which to respond to Notice to File Missing Parts of Application--Filing Date Granted mailed January 18, 2001. The Commissioner is authorized to charge the following fees that are due to our Deposit Account No. 50-0797 (Order No. 60021.375601):

| | |
|-------------------------------|------------------|
| 1) Filing Fee | \$ 710.00 |
| 2) Assignment Recordation Fee | \$ 40.00 |
| 3) 22 excess claims | \$ 396.00 |
| 3) Five-month Extension Fee | \$1890.00 |
| 4) Missing Parts Surcharge | \$ 130.00 |
| Total | <u>\$3166.00</u> |

Attny Docket No. 60021.375601

A copy of this sheet is enclosed for this purpose.

Respectfully submitted,
OPPENHEIMER WOLFF & DONNELLY, LLP

Ramona Nader
Reg. No. 47,262

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/705,287 | 11/01/2000 | Ronald Sloan | AND1P756 |

Hickman Coleman & Hughes LLP
PO Box 52037
Palo Alto, CA 94303-0746

FORMALITIES LETTER



OC000000005685697

Jc986 U.S. PTO
09/930786
08/15/01

Date Mailed: 01/18/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$476.
 - \$396 for 22 total claims over 20.
 - \$80 for 1 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1316.

REC'D JAN 25 2001

A copy of this notice MUST be returned with the reply.

B. Monroe

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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